



UNIVERSITY  
of HAWAII®  
MĀNOA

July 29, 2015

James D. Kardash, PhD  
Associate Executive Director  
University of Hawai'i Professional Assembly  
1017 Palm Drive  
Honolulu, HI 96814

SUBJECT: Department Personnel Committee Policies and Procedures

Dear Dr. Kardash:

Enclosed for your files, is the approved, signed copy of the Department Personnel Committee Policies and Procedures for the Office of Faculty Development and Academic Support.

Please feel free to contact me if you have any questions or comments.

Sincerely,

A handwritten signature in black ink, appearing to read 'Beverly A. McCreary'.

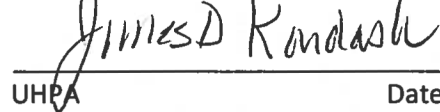
Beverly A. McCreary  
Assistant Vice Chancellor  
for Academic Personnel

Enclosure

APPROVED:

 7/16/15  
Chancellor Date

APPROVED:

 7-2-2015  
UHPA Date

Office of Faculty Development and Academic Support (OFDAS)  
Guidelines for Annual Evaluation, Contract Renewal, and Promotion and Tenure Review  
Fall 2015

With regard to all policies and procedures, refer to:

- Board of Regents Policies and Bylaws (Chapter 9 Personnel)
- 2015-2017 UHPA Collective Bargaining Agreement (CBA) between the University of Hawai'i Professional Assembly and the Board of Regents (BOR) of the University of Hawai'i (pp. 18-19, 20-28, 30-35)
- UHM Criteria and Guidelines for Tenure/Promotion

1.0 Introduction

This document provides guidelines to be used by the OFDAS Director and Department Personnel Committees (DPC) in the annual evaluation and contract renewal, and promotion and tenure review processes at the Office of Faculty Development and Academic Support at University of Hawai'i at Mānoa. It is also intended to provide guidance to individual faculty members who are preparing for annual evaluation and contact renewal, and/or promotion and/or tenure review. All guidelines conform to current university personnel policies and UHPA CBA. In cases where the guidelines are at odds with established OFDAS practices such divergences should be identified and discussed with the Vice Chancellor for Academic Affairs and the OFDAS Director and OFDAS policies shall prevail.

OFDAS faculty with a Specialist (S) appointment are referred to as "faculty." It is the responsibility of each candidate for contract renewal, promotion and/or tenure to compile and submit a complete, current, and accurate application in accordance with OFDAS and UH guidelines. The process of annual evaluation and contract renewal should be fair and consistent with established procedures of UHPA CBA.

- The procedures and criteria that are applied in the process of promotion and tenure should be consistent with procedures and criteria applied in the process of annual evaluation and contract renewal.
- A distinguishing feature of promotion and tenure review is the use of external peer review in forming judgments regarding the accomplishments of faculty seeking promotion and/or tenure.
- The OFDAS secretary shall give a copy of this document to OFDAS faculty.

2.0 Basic Faculty Performance

All faculty shall be evaluated by their job description and duties and responsibilities of their rank.

## 2.1 For S3, S4, S5 Faculty

The purpose of the DPC review of tenure and promotion applications is to read each Faculty Specialist applicant's submitted dossier and other accompanying support materials (e.g., professional programs development and evaluations, research and scholarly projects, service records, teaching evaluations, etc.), assess the applicant's performance in the areas of professional administration and program development, scholarship, teaching, and university and professional service and areas specific to their job description as an S faculty. The DPC then provides a written assessment of the applicant providing details of strengths and weaknesses in each of the areas based on criteria outlined in Section VII and/or criteria specified in the applicant's job description and appends a recommendation if they so choose.

It is expected that each Faculty Specialist will find the mixture of professional activities, services, and scholarly projects specific to their job description that meets the needs of CTE, OFDAS, and the University and best suits his/her abilities. However, unless specifically employed to do otherwise each S-3, S-4, and S-5 faculty member will do all of the following:

- Effectively offer established and regularly develop new programs and services designed to meet the needs of Manoa faculty and other teaching staff, the Center, Office and University.
- Conduct research relevant to faculty professional development in their teaching and learning, and present and/or disseminate outcomes to colleagues in the field of professional development, UH Manoa.
- Participate actively in institutional projects and missions that relate directly to the mission of CTE and that bring to the table specific disciplinary strengths of the Faculty Specialist through contribution to committees, advisory boards, planning groups, etc.
- Be a valuable participant in the functioning of CTE and its programs and OFDAS and its mission.

## 2.2 For Faculty Specialist at rank 3, 4, 5

The mission of the Center for Teaching Excellence, Office of Faculty Development, and University require the support of academic professionals with a PhD and professional academic experience in the category of Specialist at the following levels: Assistant, Associate, and Specialist. It is expected that each Faculty Specialist effectively fulfill his/her defined duties and responsibilities as defined in the position description. Faculty Specialists are not generally appointed to do formal teaching or research in many centers or units; however, in the case of Faculty Specialists at the Center for Teaching Excellence (CTE), a Center "for faculty and by faculty," maintaining a standing teaching load of one course a year is expected as one way to maintain equivalent and collegial relations with Manoa I-Faculty who depend on OFDAS and CTE for collegial professional support and development. Responsibilities of Faculty Specialist generally involve three distinct categories of activities:

- **Professional Activities** includes providing support for academic and research success as well as organizing professional development activities in all areas of interest and concern for faculty at Manoa, and specifically conducting activities in their areas of specialization to meet the overall mission of the university and the unit to which they are assigned.

- **Scholarly Activities** includes those activities that demonstrate the achievement and dissemination of knowledge which advances the field of specialization. These kinds of activities can be organized into two subcategories: research/evaluation and "professional achievement and productivity in the field of specialization appropriate to the rank." (Minimum Criteria)
- **Service Activities** include participation in the academic affairs of the Center, Office, the University, and the profession in general. Service activities are efforts in which the competence of the Faculty Specialist is employed; these include participation for the good of the Center, Office, University, and the advancement of the profession of faculty development.

### 3.0 Eligibility

Faculty in the tenure stream are subject to mandatory review in a schedule specified by the UH Board of Regents and UHPA contract. For example, faculty initially appointed as Assistant Specialists in the tenure system are subject to review and contract renewal in their second year of service, and their fourth year of service. The OVCAA and/or the OFDAS secretary shall provide the OFDAS Director with a list of faculty due for personnel actions that year. The Director will then be responsible for initiating mandatory reviews.

Tenure system faculty without tenure may apply to be considered for tenure prior to the date of a mandatory tenure review. To do this, faculty must submit a request to reduce their normal probationary period, which must be approved by the Dean or equivalent. If the tenure involves an automatic promotion, then faculty also must meet the minimum requirements for the next rank.

Tenured faculty below the rank of full rank may apply to be considered for promotion in any year a faculty member meets the minimum qualifications for the rank to which s/he seeks promotion. It shall be the responsibility of faculty, not subject to mandatory review, to notify the Director that they wish to be considered for promotion and/or tenure.

### 4.0 Schedule

Mandatory and non-mandatory promotion and/or tenure reviews should commence with a meeting between the candidate and the Director during the spring semester of the year prior to the academic year in which the review shall take place.

During the spring semester, the candidate shall compile the candidate's dossier. The components of the dossier are described in the following section.

A schedule is established each year after the VCAA receives the Application Date, usually the first Friday in October, set by UH System. The VCAA then sets a date for OFDAS recommendations; the dossiers are usually due to the campus-wide committee (TPRC) by December. Candidates will be notified of the schedule as soon as possible in the spring or the fall semester. Typically, external reviews are solicited in May-June by the Director, reviews are completed during the fall semester, and center recommendations for promotion and/or tenure

decisions are forwarded to the Dean/VC by November, and recommendations for contract renewal forwarded to the Dean/VC by December.

With regard to Duration of Probationary Time refer to 2015-2017 UHPA Agreement, pp. 21-22, Article XII, Section C, 2, Duration of Probationary Period, "The probationary period for any Faculty Member may be lengthened, or shortened, or eliminated by specific action of the Employer either at the request of the Faculty Member, or upon the initiative of the Employer with the concurrence of the Faculty Member, but in no instance may the total full-time probationary service exceed seven (7) years" (p.21).

5.0 Department Personnel Committee

The Department Personnel Committee (DPC) shall consist of tenured faculty, allowing only faculty members of equal or higher of the rank to which the candidate is applying to vote on applications for promotions, and be representative of the candidate's classification. In the case of S-faculty there must be at least one (1) representative faculty of the same class on the DPC. Excluded from the DPC are, (1) those faculty within the unit who are candidates for annual review contract renewal, and promotion and/or tenure during the current academic year, (2) those faculty within the unit who are on leave during the academic year, and (3) those faculty closely related to the candidate.

- As the size of the DPC may vary, candidates should refer to the Bylaws of their Center. According to 2015-2017 UHPA Agreement, p. 25, Article XII, Section 0.2. L, "the preferred size of five members."
- Following the guidelines stipulated in 2015-2017 UHPA Contract Collective Bargaining (Article XII, G. 2, m, p. 25), at UH-Mānoa, if a department or program has fewer than five (5) eligible tenured Faculty Members, who are available (i.e., not on leave of absence) to serve on the DPC, then the Dean or Director may constitute a Faculty Personnel Committee in consultation with the Department Chair or Program Director. This ad hoc Faculty Personnel Committee will be made up of all UH-Mānoa tenured Faculty Members with an appointment of .25 FTE or greater in the department or program, and additional tenured Faculty Members from related disciplines. The Center does not have the requisite number of eligible tenured faculty to make up the DPC. The Assistant/Associate VCAA will constitute a DPC in consultation with the Director.
- The DPC Chairperson shall be selected by the DPC.

6.0 The Dossier Submitted to the Departmental Review Committee (DPC)

The candidate is responsible for the compilation of the dossier (Manoa Guidelines

A three-ring binder will assist the candidate to compile his/her dossier. The purpose of the dossier is to present a complete and persuasive case for promotion and/or tenure.

## 6.1 Materials Provided by the Candidate

In general, a strong S-3, S-4, or S-5 dossier will contain:

### A. General

- A narrative statement describing his/her professional accomplishments, projects, and plans in program development, scholarly projects and research, and service. Typically this statement is approximately nine single-spaced pages.
- A complete and up-to-date curriculum vitae
- Select pieces of work that best exemplify his/her contribution to the field of study and practice.
- Note: Supplemental materials not included in the dossier may be organized for review in a portable file/box, to be consulted upon request by DPC, Chair, AVCAA, or TPRC.

### B. Scholarly Activities and Research

- Evidence of an established and continuing line of research (including plans for the future) recognized by peers.
- Summary statement of published and unpublished scholarly and creative work as appropriate including articles, chapters, books, book contracts, reviews, reports, and conference, presentations, poster sessions, etc.
- Overview of program/research/service grant proposals written and/or funded
- Evidence of leadership/support provided to faculty and other teaching staff with regard to teaching and learning, professional development and service.

### C. Teaching

- Course syllabi and related materials
- CAFÉ/ eCAFE reports and/or other teaching evaluation forms
- Evidence of course development
- Overview of creative expressions—videotapes, computer software, mobile apps, visual art, music, etc.
- Overview of honors, awards or other recognition for teaching and/or advising
- Service as chair or member of guidance, dissertation, and other pertinent committees
- Evidence of student advising (e.g., chair, member, outside advising)
- Honors, awards, publications, recognition of advisees

### D. Service

- Products of university and/or public service and outreach
- Evidence of leadership in or contributions to professional organizations (e.g., conference planning, proposal review, editorial work, etc.)
- Evidence of leadership or contributions to outreach programs or activities at local, state, regional, national, and international levels

- Evidence of service to faculty development at all levels (local, state, regional, national, and international)
- Service grant proposals written and/or funded
- Leadership and contributions to university, college, and/or center ad hoc or standing committees
- Honors, awards and other recognition for service

Faculty should refer to their Position Description for materials required by their Center. In addition to the narrative statement and curriculum vitae outlined in the General section below, S-Faculty candidates shall provide materials in these categories:

#### **A. General**

- A narrative statement describing his/her accomplishments and plans in the areas of professional, scholarly, and service activities (approximately nine single-spaced pages)
- A complete and up-to-date curriculum vitae

#### **B. Professional Activities**

- Administration
- Program Development
- Direct Client Services

Evidence of achievement in this area may come from but are not limited to these possible examples of professional activities:

- Administering, supervising, and/or coordinating existing Center and Office programs
- Developing, revising, and/or implementing policies and procedures in areas of expertise
- Developing new programs and projects in faculty development
- Strategic planning
- Conducting developmental workshop, seminars, or lectures
- Providing leadership in departmental projects and pursuits in areas of expertise
- Teaching (and developing) courses, one or two courses annually
- Consulting with faculty regarding teaching and learning, technology and other areas of expertise

#### **C. Scholarly Activities**

- Research and Inquiry
- Professional Development

Evidence of achievement in this area may come from but are not limited to these possible examples of scholarly activities:

- Assessment/Evaluation
- Presentations
- Grants
- Publications
- Scholarly Initiatives
- Other Scholarly Activities (e.g., serving as editor or member of editorial board; obtaining national recognition for professional accomplishments; receiving

awards/grants; serving on theses or dissertation committees; formal review of scholarly pieces for internal and external clients)

- Workshops/conferences/seminars attended
- Active membership and participation in professional associations

#### **D. Service and Outreach**

- Institutional Service (Center, Office, Campus, System)
- Professional Service and Special Assignments
- Community Service

#### **E. Faculty Scholarly Projects**

- The candidate is asked to select three (3) pieces of work that best exemplify his/her contribution to the field of study/practice.

### **6.2 Materials Provided by the Director/Department Chair**

The Director shall provide:

- Review letter
- External review letters (in conjunction with the DPC Chair)

### **6.3 External Reviews**

For reviews involving the granting of tenure and/or promotion (for all levels), the candidate shall provide the Director of his/her center with a list of at least three (3) individuals outside of the university who the candidate believes to be qualified to judge his/her accomplishments. External reviewers, from university/post-secondary institutions, must be at the rank or higher of the rank to which the candidate is applying. The Director shall form a list of external referees, selecting at least three (3) names from the list provided by the candidate and adding additional names as the Director deems appropriate, to total at least six names. Note: external reviewers will be received in equal number per Mānoa Criteria/Guidelines from both lists. The Director shall solicit confidential letters of evaluation from the external referees. The Director shall ensure that the center adheres to university policies and contractual agreements regarding the confidentiality of such materials.

The materials sent to external referees should consist of the following: (a) a cover letter from the Director briefly describing the nature of the review and the desired scope of the external referee's evaluation, (b) the candidate's curriculum vitae, (c) the candidate's narrative statement, and (d) appropriate supporting materials (e.g., three pieces of scholarly work).

The Director will maintain a record of the names of the external referees from whom letters of evaluation have been solicited, along with their associations with and qualifications to review the candidate. If an external referee declines to submit a letter of evaluation, the reason stated shall be recorded. These data shall become part of the record. In addition, a copy of the letter sent by the Director to external referees should also become part of the dossier, to clarify the charge given to them. See BOR policy on conflict of interest and nepotism.



## 7.0 Criteria for Promotion

In keeping with its unique mission, criteria for promotion within OFDAS emphasize a broad view of scholarship which includes 1) Professional Activities, 2) Scholarly Activities, and 3) Service. Due to the unique job description of the Specialist Faculty, DPC and faculty should review the "UHM Criteria and Guidelines for Faculty Tenure/Promotion Application" prepared by the Office of the VCAA (Section IV. C. Criteria for Tenure, and Section V. C. Promotion Criteria for Specialist Faculty).

7.1 Evidence of the candidate's contributions to develop programs and services to support high impact, engaged teaching and learning practices will include instruction and expertise in established best practices within higher education, and the development of new programs and services supportive of the mission of CTE. OFDAS and CTE place special emphasis on faculty-faculty consultation, mentoring and collaboration, and seek evidence for such activities in the candidate's application. All S-faculty for promotion should provide evaluations of their professional engagement with faculty at all levels in their professional development of high quality teaching practices, including group and individual contexts.

7.2 Evidence of the candidate's scholarly activities will usually include findings based on programs and services developed at OFDAS and CTE and provided to faculty and other teaching staff, and disseminated through presentation and/or publication of scholarly work in some of these areas: peer-reviewed journals, books and book contracts, and reports, and regular, active participation in professional conference, symposia, lectures, demonstrations, editorial board and review panels. OFDAS and CTE encourages its faculty to build Manoa and system based as well as regional, national, and international collaborations, which broaden the perspective and impact of programs and participation in multi-disciplinary scholarly projects involving specialists from different fields.

- All candidates for promotion to rank 4 should submit peer-reviewed, authoritative publications and/or invitational innovative expressions for individual review. These publications and/or presentations should demonstrate the candidate's ability to work at the forefront of his/her field.
- All candidates for promotion to rank 5 should submit no more than five reviewed, leading publications and/or invitational creative expressions for individual review. These publications and/or presentations should demonstrate authoritative mastery of at least one field relevant to the mission of OFDAS and CTE. The successful candidate will be a campus-wide, nationally and internationally recognized authority in her/his field and have demonstrated leadership abilities.

With regard to multiple authors, the DPC focuses on the individual candidate's contribution to multi-authored and team/collaborative projects. There are generally two types of contributions: (1) intellectual creation of the ideas, insights, and syntheses that produce new understanding or new approaches; and (2) support functions, e.g., data collection, analyses, computations, editing, etc. Contributions of the first kind establish a person's creativity and leads to her or his thoughts having direct influence on the field. Contributions of the second kind establish professional stature and technical skill. It is incumbent on the candidate to define the type and percentage of their individual contribution to a multi-authored or team-based project.

7.3 Evidence of the candidate's contributions to serving a broader faculty development may include an array of institutional and broader-based service activities.

8.0 Criteria for Tenure

A. The tenure evaluation aims to determine whether indefinite retention of the candidate is in the best interest of the Center, Office and University. Tenure is granted only to those candidates whose record of scholarly achievement justifies the expectation that their lifelong retention will strongly benefit the overall educational goals of the Center, the Office and University.

B. OFDAS seeks evidence for steady growth in evaluating the candidate's application for tenure. The successful applicant will have broken new ground in his/her field of endeavor, as evidenced by invited presentations, consulting activities, peer-reviewed projects and publications, and other forms of peer recognition.

9.0 The Review Process for Promotion and Tenure

9.1 Reviews by the Center/Department

The Departmental Promotion and Tenure Review Committee (DPC) will review the candidate's dossier.

Process:

- The chair of the DPC shall conduct a vote, via secret ballot, on whether to support the candidate's application;
- The chair of the DPC shall prepare a memorandum summarizing the deliberations making an assessment of the strengths and weaknesses of the applicant, and appending a recommendation if they so desire;
- This assessment will become part of the candidate's dossier; and,
- The chair of the DPC will forward the dossier to the next level, the Director.

9.2 Review by the Director/and Recommendation

The Director is responsible for recommending a personnel action and forwarding that recommendation to the dean of the school/college.

Process:

- The Director makes a separate and independent assessment and recommendation on tenure applications from that of the DPC. (Article XII, Section G. 2. c., p.24); and,
- The Director will forward the candidate's dossier, including memoranda prepared by the DPC and the director's memorandum or letter, to the Assistant/Associate Vice Chancellor.

9.3 Review by the Assistant/Associate Vice Chancellor

It is the Assistant/Associate Vice Chancellor's responsibility to review the dossier, including the memoranda from both the Departmental Review Committee, Director, and other reviews as appropriate. The result of this review will be a recommendation by the Assistant/Associate Vice Chancellor.

The Assistant/Associate Vice Chancellor should notify the candidate of the recommendation and the reasons for that recommendation, in writing.

It is at this stage of the process that a candidate has an opportunity to address comments, suggestions, feedback from the Director, and/or DPC, and/or Assistant/Associate Vice Chancellor by making revisions/amendments to their dossier/tenure application before it is forwarded to the VCAA and TPRC levels.

*Revised : July 2015*